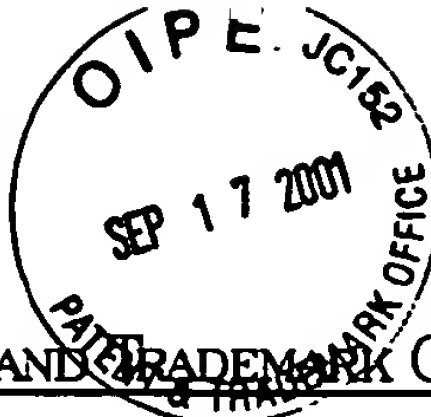




# UNITED STATES PATENT AND TRADEMARK OFFICE



#3

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/835,820	04/17/2001	Tomohisa Hosino	P 2800192 EL00028CDC

CONFIRMATION NO. 5539

00909  
PILLSBURY WINTHROP LLP  
1600 TYSONS BOULEVARD  
MCLEAN, VA 22102

## FORMALITIES LETTER



\*OC000000006313832\*

Date Mailed: 07/18/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

09/18/2001 SHINASS1 00000087 09835820

FILED UNDER 37 CFR 1.53(b)

710.00 OP  
130.00 OP

### Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
*Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).*
- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 840.**

The application is informal since it does not comply with the regulations for the reason(s) indicated below.

The required item(s) identified below must be timely submitted to avoid abandonment:

- Substitute drawings in compliance with 37 CFR 1.84 because:
  - drawing sheets do not have the appropriate margin(s) (see 37 CFR 1.84(g)). Each sheet must include a top margin of at least 2.5 cm. (1 inch), a left side margin of at least 2.5 cm. (1 inch), a right side margin of at least 1.5 cm. ( 5/8 inch), and a bottom margin of at least 1.0 cm. (3/8 inch);
  - Drawings must be reasonably free from erasures and must be free from alterations, overwritings, interlineations, folds, and copy marks.

*A copy of this notice MUST be returned with the reply.*

*M M*

Customer Service Center

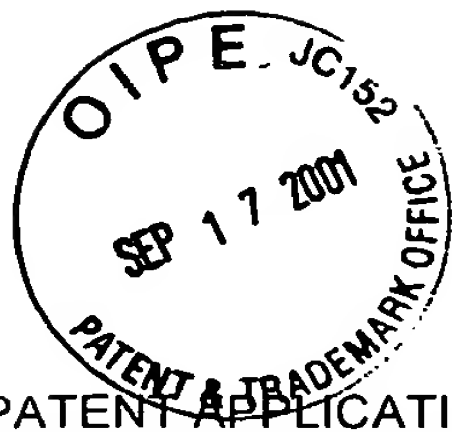
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

10/15/03 10:15:03

Secured  
Page 1 of 2

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)  
For Design, Provisional, or Utility Applications

PATENT  
APPLICATION

**COMPLETION Under**  
**Rule 53(f)**

In re PATENT APPLICATION of  
Inventor(s): HOSHINO et al.

Attn: Application Division

Appln. No.:	09	835,820	Atty.Dkt.	P	280192	EL00028CDC
	Series Code ↑	Serial No. ↑			M#	Client Ref

Filed: April 17, 2001

Title: FABRICATION PROCESS OF A SEMICONDUCTOR DEVICE INCLUDING A CVD PROCESS OF A METAL FILM

Hon. Commisioner of Patents  
Washington,DC 20231

Date: September 17, 2001

Sir:  
The following **completes the filing** under Rule 53(f) of the above-identified patent application:

1. **Notice to File Missing Parts** ☒ copy attached ☐ not yet received

2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filling signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or

"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.

2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.

3. ☐ Specification originally filed in non-English language; hence verified translation attached of:

a. ☐ Abstract.

b. #  pages of Specification(only spec. & claims)

c. ☐ Drawing(s)

No of Sheets

☐ Fig(s).

4. ☒ Letter filing formal drawing attached.

5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.

6. **DOMESTIC/INTERNATIONAL** priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

Application No.	Filing Date	Application No.	Filing Date
(1)		(2)	
(3)		(4)	
(5)		(6)	

7. **FOREIGN** priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

Application No.	Filing Dat	Application No.	Filing Date
(1) 2000-115187	April 17, 2000	(2)	
(3)		(4)	
(5)		(6)	

Completion Under Rule 53(f)

9. 1 (No.) Certified copy (copies): ☐ attached; ☒ previously filed (date) April 17, 2001  
in U.S. Application No. 09/835,820 filed on April 17, 2001

10. Small Entity Status ☐ ☒ is Not claimed ☐ is claimed (file PAT-256 if this is the first claim of Small Entity Status)

11. ☐ Attached:

12. ☐ Preliminary Amendment:

**THE FOLLOWING FILING FEE IS BASED ON CLAIMS AS FILED LESS ANY ABOVE CANCELLED**

				Large/Small Entity		Fee Code
13. Basic Filing Fee . . . . . Design Application				\$320/\$160		106/26
Not Design Application				\$710/\$355	+710	101/201
14. Total Effective Claims	14	minus 20 =	0	x \$18/\$9	+0	103/203
15. Independent Claims	3	minus 3 =	0	x \$80/\$40	+0	102/202
16. If any proper multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18. FILING FEE ENCLOSED =				\$840		
19. Original due date: September 18, 2001						
20. Petition is hereby made to extend the original due date to (1 mo)				\$110/\$55 =	+0	115/215
cover the date this response is filed for which the requisite fee (2mos)				\$390/\$195 =		116/216
is attached (3mos)				\$890/\$445 =		117/217
(4mos)				\$1390/\$695 =		118/218
21. If "non-English" box 3 is X'd, add Rule 17(k) processing fee . . . . .				\$130	+0	139
22. If "assignment" box 5 is X'd, add recording fee. . . . .				\$40	+40	581
23. Petition Fee for				\$130	+0	
24. TOTAL FEE ENCLOSED =				\$880		

Our Deposit Account No. 03-3975

Our Order No. 40258

280192

C#

M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official document under Rule 20, or credit any overpayment, to our Account/Order Nos. shown in the heading hereof for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal form is filed.

**Pillsbury Winthrop LLP**  
**Intellectual Property Group**

1600 Tysons Boulevard

By Atty: Gregory P. Brummett

Reg. No. 41646

McLean, VA 22102

Sig: *G. Brummett*

Fax: (703) 905-2500

Tel: (703) 905-2000

Tel: (703) 905-2024

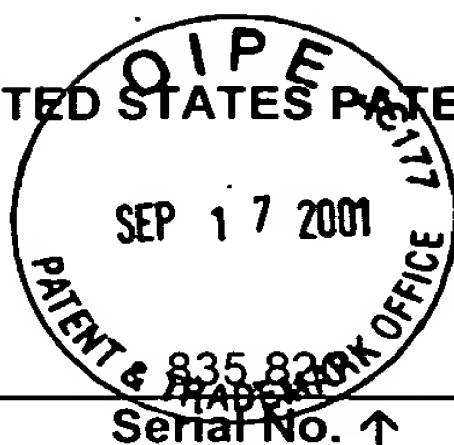
Atty/Sec: GPB/csg

**NOTE: Fil in duplicate with PTO receipt (PAT-103A) and attachments**

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Attention: OFFICE OF PUBLICATIONS

In re PATENT APPLICATION of  
Inventor(s): HOSHINO et al.  
Appln. No.: 09



Group Art: 2812  
Examiner:  
Atty. Dkt. P 280192 | EL00028CDC  
M# | Client Ref

Filed: April 17, 2001

Title: FABRICATION PROCESS OF A SEMICONDUCTOR  
DEVICE INCLUDING A CVD PROCESS OF A METAL  
FILM

Date: September 17, 2001

**FILING OF FORMAL DRAWINGS**  
**In Compliance with 37 C.F.R. § 1.84**

Hon. Commissioner of Patents  
Washington, D.C. 20231

Sir:

1. Please accept the herewith 14 sheet(s)
2. of formal drawing(s) on ☒ A4 ☐ 11" size paper
3. of Figure(s) 1-25
4. of which Figure(s)     is/are **black and white photographic drawings** (DO NOT use this form for photographic drawings in color (see PAT-280).
5. ☒ which is/are in lieu of the informal drawing(s) filed earlier.
6. ☒ which include the corrections required/approved by the Draftsperson/Examiner
7. In the *Notice to File Missing Parts of Nonprovisional Application* dated July 18, 2001

**NOTE**

- A. PTO waived requirement for 3 sets of B/W photos June 9, 1998, 1211 OG 34;
- B. PTO waived requirement for petition and petition fee for B/W photos August 4, 1998, 1213 OG 108.
- C. Petition and fee are still required for photographs which are in color. See Rule 84(a)(2).

A,B,C were confirmed in 9/8/00 Rule 84 changes

**EXTENSIONS NOT AVAILABLE Re NOTICES OF  
ALLOWABILITY ISSUED ON/AFTER 11/7/00**

		Large/Small Entity	Fee Code
8. Original due date: <u>September 18, 2001</u>	<input type="checkbox"/> NONE		
9. Petition is hereby made to extend the original due date to cover the date this response is filed for which the requisite fee is attached	(1 mo)	\$110/\$55 =	115/215
	(2 mos)	\$390/\$195 =	116/216
	(3 mos)	\$890/\$445 =	117/217
10.	TOTAL FEE ENCLOSED		\$0

(Our Deposit Account No. 03-3975)  
(Our Order No. 40258)  
C#

280192  
M#

**CHARGE STATEMENT:** The Commissioner is hereby authorized to charge any fee specifically authorized hereafter, or any missing or insufficient fee(s) filed, or asserted to be filed, or which should have been filed herewith or concerning any paper filed hereafter, and which may be required under Rules 16-18 (missing or insufficiencies only) now or hereafter relative to this application and the resulting Official Document under Rule 20, or credit any overpayment, to our Accounting/Order Nos. shown above, for which purpose a duplicate copy of this sheet is attached. This CHARGE STATEMENT does not authorize charge of the issue fee until/unless an issue fee transmittal sheet is filed.

**Pillsbury Winthrop LLP  
Intellectual Property Group**

1600 Tysons Boulevard  
McLean, VA 22102

By Atty: Gregory P. Brummett

Reg. No. 41646

Tel: (703) 905-2000  
Atty/Sec: GPB/csg

Sig:

Fax: (703) 905-2500  
Tel: (703) 905-2024

**NOTE: File this cover sheet in duplicate with PTO receipt (PAT-103A) and attachments**

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE



## FILING COMPLETION UNDER RULE 53(f)

( NOT PCT Applications)

For Design, Provisional, or Utility Applications

PATENT  
APPLICATIONCOMPLETION Under  
Rule 53(f)In re PATENT APPLICATION

Attn: Application Division

Inventor(s): HOSHINO et al.

Appln. No.: 09 835,820  
Series Code ↑ Serial No. ↑Atty.Dkt. P 280192 EL00028CDC  
M# Client Ref

Filed: April 17, 2001

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Hon. Commisioner of Patents  
Washington,DC 20231

Date: September 17, 2001

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2. ☒ Signed Declaration attached. ☒ Original ☐ Facsimile/Copy

(Always "X" box 2 if filing signed Declaration and

"X" box 2A only if top box of the Declaration is X'd and file application copy, or"X" box 2B only if none of the top three boxes of the Declaration is X'd.)

- 2A. ☐ Attached: Original signed Declaration with attached specification (including claim(s)) which is a copy of specification and claim(s) originally filed to secure the above filing date.
- 2B. ☐ The original application as filed in the PTO on the above filing date is the application which each inventor executed by signing the attached Rule 63 Declaration.
3. ☐ Specification originally filed in non-English language; hence verified translation attached of:
- a. ☐ Abstract
- b. #  pages of Specification(only spec. & claims)
- c. ☐ Drawing(s)  No of Sheets
- ☐ Fig(s).

4. ☒ Letter filing formal drawing attached.
5. ☒ Attached is an assignment and cover sheet. Please return the recorded assignment to the undersigned.
6. DOMESTIC/INTERNATIONAL priority is claimed under 35 USC 119(e)/120/365(c) based on the following provisional, nonprovisional and/or PCT international application(s):

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(3)		(4)	
(5)		(6)	

7. FOREIGN priority is claimed under 35 USC 119(a)-(d)/365(b) based on filing in Japan

8.

Application No.	Filing Date	Application No.	Filing Date
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(3)		(4)	
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Completion Under Rule 53(f)

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11. ☐ Attached:

12. ☐ Preliminary Amendment:

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Not Design Application				\$710/\$355	+710	101/201
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15. Independent Claims	3	minus 3 =	0	x \$80/\$40	+0	102/202
16. If <u>any proper</u> multiple dependent claim (ignore improper) is present, (Leave this line blank if this is a reissue application)				\$270/\$135	+0	104/204
17. Surcharge for filing Declaration/filing fee late				\$130/\$65	+130	105/205
18. FILING FEE ENCLOSED =					\$840	
19. <u>Original due date:</u> September 18, 2001						
20. <b>Petition is hereby made</b> to extend the <u>original</u> due date to				(1 mo)	\$110/\$55 =	+0
cover the date this response is filed for which the requisite fee				(2mos)	\$390/\$195 =	115/215
is attached				(3mos)	\$890/\$445 =	116/216
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24. TOTAL FEE ENCLOSED =					\$880	

Our Deposit Account No. 03-3975

Our Order No. 40258

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